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#### PATENT APPLICATION

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Andrew G. RICKMAN, et al.

Appln. No. 09/980,021

Group Art Unit: NOT YET ASSIGNED

Confirmation No.: 2993

Examiner: NOT YET ASSIGNED

Filed: November 30, 2001

For: WAVEGUIDE JUNCTION WITH SILICON NITRIDE

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

# INFORMATION DISCLOSURE STATEMENT U.S. Appln. No. 09/980,021

Complete English translations of foreign language documents are being submitted herewith, and therefore no concise explanation for such foreign language documents is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,

Registration No. 21,092

SUGHRUE MION, PLLC 2100 Pennsylvania Avenue, N.W. Washington, D.C. 20037-3213

Telephone: (202) 293-7060 Facsimile: (202) 293-7860

Date: March 8, 2002

Substitute for form 1449 A & B/PTO

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1		of	1

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Сотр	olete if Known
Application Number	09/980,021
Confirmation Number	2993
Filing Date	November 30, 2001
First Named Inventor	Andrew G. RICKMAN
Art Unit	NOT YET ASSIGNED
Examiner Name	NOT YET ASSIGNED
Attorney Docket Number	Q67482

U.S. PATENT DOCUMENTS					
Examiner Ci Initials* No	0.4	Document		Publication Date MM-DD-YYYY	
	No.1	Number	Kind Code <sup>2</sup> (if known)		Name of Patentee or Applicant of Cited Document
		US			

FOREIGN PATENT DOCUMENTS							
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Initials*	No.1	Country Code <sup>3</sup>	Number⁴	Kind Code <sup>5</sup> (if known)	MM-DD-YYYY	Applicant of Cited Document	Translation <sup>6</sup>
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.